

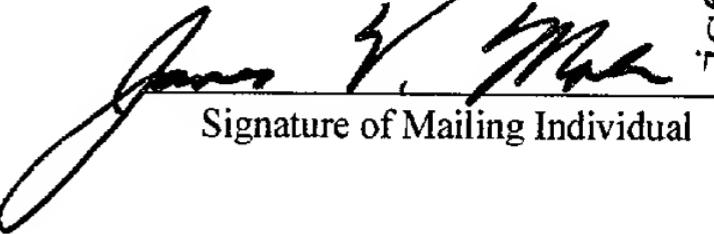
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

UTILITY PATENT APPLICATION TRANSMITTAL

COMMISSIONER OF PATENTS
Box Patent Application
Washington, D.C. 20231

Attorney Docket No. 6311-5

Art Unit: Not Yet Assigned
Examiner: Not Yet Assigned

Sir.:

Transmitted herewith for filing is a utility patent application

Stuart Clenaghan
Timothy Wood
Charles Stietzel
Tom Ineke
David Soanes
Bin Ji

for: **Method and Apparatus For Selling Financial Instruments**

ENCLOSED are the following:

1. Specification (17 pages), abstract (1 page) and claims (12 pages).
2. 7 sheets of informal drawings.
3. Declaration and Power of Attorney (**unsigned**) by the named inventors.
 Newly executed (original or copy)
4. Assignment (**unsigned**)
5. Information Disclosure Statement

NOTE the following:

7. Applicant is a small entity, which was established in parent application Serial No. and such status is still proper and desired.
8. The prior application is assigned to (Recordation cover sheet and accompanying papers)

9. Priority of the following application(s) is (are) claimed under 35 U.S.C. 119:

Serial No.	Date Filed	Country	<u>Certified Copy of Priority Doc. Filed</u>	
			USSN or PCT#	Date
60/173,274	12/28/99			

11. An Extension of Time is filed concurrently herewith for the parent application.

12. Cancel claims prior to calculation of the filing fee.

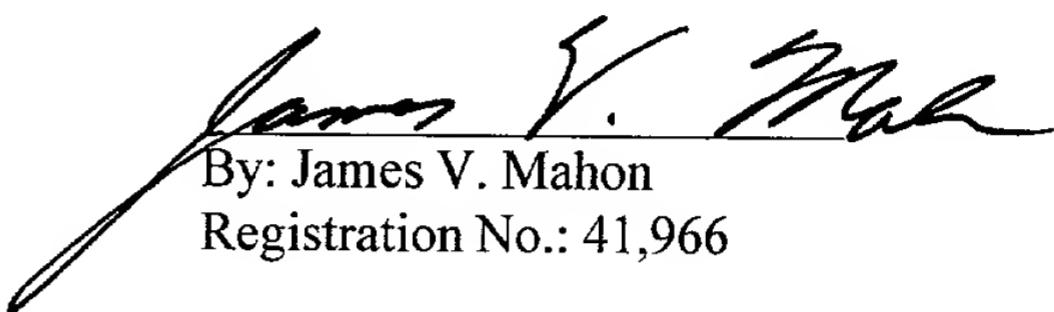
FILING FEE: calculated below (after accounting for any preliminary amendment or claims cancellations if noted above):

<input checked="" type="checkbox"/>	Total Claims	38	Total Claims Subject to Fees: 18	\$296.00
<input checked="" type="checkbox"/>	Independent Claims	7	Total Claims Subject to Fees: 4	\$320.00
<input type="checkbox"/>	Multiple Dependent Claims			\$
<input checked="" type="checkbox"/>	Basic Filing Fee			\$710.00
<input type="checkbox"/>	Extension Fees			\$
	Sub-Total			\$
<input type="checkbox"/>	Less Small Entity Fee Reduction			\$
<input type="checkbox"/>	Assignment Recordal Fees			\$0.00
	Total Fees			\$1,326.00

The Commissioner is authorized to charge \$1,326.00 for filing this application as well as any additional fee or credit any overpayment due in connection with this communication to Deposit Account No. 50-0521. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Date: December 27, 2000


By: James V. Mahon
Registration No.: 41,966

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